

# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

## Title of Invention

Optical device for LED based lamp

Application Number : 10/816228



Confirmation Number: 7326

First Named Applicant: Julio Chaves

Attorney Docket Number: 3084.028

Art Unit: 2875

Examiner: Adam C. Rehm

Search string: ( 5453877 or 5699186 or 6097549 or 6641287 or 6729746 or 6554455 or 6830359 or 6848820 or 6886962 or 6926435 or 6948836 or 6953265 or 6997587 or 20040125614 or 20040190304 ),pn

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<input checked="" type="checkbox"/>	1	5453877	1995-09-26	Gerbe et al.			
<input checked="" type="checkbox"/>	2	5699186	1997-12-16	Richard			
<input checked="" type="checkbox"/>	3	6097549	2000-08-01	Jenkins et al.			
<input checked="" type="checkbox"/>	4	6641287	2003-11-04	Suehiro			
<input checked="" type="checkbox"/>	5	6729746	2004-05-04	Suehiro et al.			
<input checked="" type="checkbox"/>	6	6554455	2003-04-29	Perlo et al.			
<input checked="" type="checkbox"/>	7	6830359	2004-12-14	Fleury			
<input checked="" type="checkbox"/>	8	6848820	2005-02-01	Natsume			
<input checked="" type="checkbox"/>	9	6886962	2005-05-03	Suehiro			
<input checked="" type="checkbox"/>	10	6926435	2005-08-09	Li			
<input checked="" type="checkbox"/>	11	6948836	2005-09-27	Ishida et al.			
<input checked="" type="checkbox"/>	12	6953265	2005-10-11	Suehiro et al.			
<input checked="" type="checkbox"/>	13	6997587	2006-02-14	Albou			

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
<input checked="" type="checkbox"/>	1	20040125614	2004-07-01	Ishida et al.			
<input checked="" type="checkbox"/>	2	20040190304	2004-09-30	Sugimoto et al.			

Signature

Examiner Name	Date
<i>AK CB</i>	3/19/06

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**MAR 03 2006**

PTO/SB/08b (08-03)

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/816,228
				Filing Date	March 31, 2004
				First Named Inventor	Chaves
				Art Unit	2875
				Examiner Name	Rehm
Sheet	1	of	1	Attorney Docket Number	3084.028

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Examiner Signature	<i>Decker</i>	Date Considered	3/18/06
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Attorney Docket Number: 3084.028

Art Unit: 2875

Examiner: Adam C. Rehm

Search string: ( 6863402 or 6882379 or 6692136 or 6769772 or 6252636 or 5600487 or 20050135095 or 20050200812 or 20050219464 ).pn

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<i>J</i>	1	6863402	2005-03-08	Roddy et al.			
<i>J</i>	2	6882379	2005-04-19	Yokoyama et al.			
<i>J</i>	3	6692136	2004-02-17	Marshall et al.			
<i>J</i>	4	6769772	2004-08-03	Roddy et al.			
<i>J</i>	5	6252636	2001-06-26	Bartlett			
<i>K</i>	6	5600487	1997-02-04	Kiyomoto et al.			

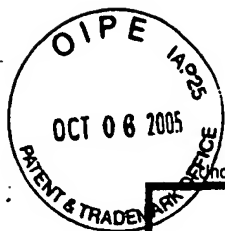
## US Published Applications

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init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
<i>K</i>	1	20050135095	2005-06-23	Geissler			
<i>J</i>	2	20050200812	2005-09-15	Sakata et al.			
<i>K</i>	3	20050219464	2005-10-06	Yamasaki et al.			

## Signature

Examiner Name	Date
<i>Adam C. Rehm</i>	3/18/06



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		Application Number	10/816,228		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		Filing Date	3/31/2004		
		First Named Inventor	Chaves		
		Art Unit	2875		
		Examiner Name	<del>Tao</del> A. Rehm		
Sheet	1	of	1	Attorney Docket Number	3084.028

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
AK		International Search Report, PCT/US04/16313, mailed 3/21/2005	
I		International Search Report, PCT/US04/24450, mailed 8/3/2005	
AK		International Search Report, PCT/US04/38584, mailed 7/18/2005	

Examiner Signature		Date Considered	<del>3/16/06</del> 3/16/06
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First Named Applicant: Julio Chaves

Attorney Docket Number: 3084.028

Art Unit: 2875

Examiner: Laura K Tso

Search string: ( 4188111 or 4384769 or 5343330 or 6222623 or 6356700 or 6783269 or 6924943 or 20040228131 or 20050088758 or 20040252390 or 20050024744 or 20050086032 or 20040246606 ).pn

## US Patent Documents

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init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<i>12</i>	1	4188111	1980-02-12	Marvin			
<i>12</i>	2	4384769	1983-05-24	Brei et al.			
<i>12</i>	3	5343330	1994-08-30	Hoffman et al.			
<i>12</i>	4	6222623	2001-04-24	Wetherell			
<i>12</i>	5	6356700	2002-03-12	Strobel			
<i>12</i>	6	6783269	2004-08-31	Pashley			
<i>12</i>	7	6924943	2005-08-02	Minano et al.			

## US Published Applications

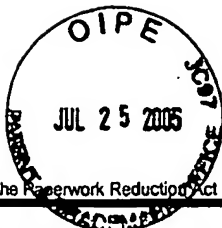
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init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
<i>12</i>	1	20040228131	2004-11-18	Minano			
<i>12</i>	2	20050088758	2005-04-28	Minano et al.			
<i>12</i>	3	20040252390	2004-02-13	Benitez			
<i>12</i>	4	20050024744	2005-02-03	Falicoff			
<i>12</i>	5	20050086032	2005-04-21	Benitez et al.			
<i>12</i>	6	20040246606	2004-12-09	Benitez et al.			

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ACB	3/18/06





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				Application Number	10/816,228
				Filing Date	3/31/2004
				First Named Inventor	Chaves et al.
				Art Unit	2875
				Examiner Name	Tso Rehm
Sheet	1	of	1	Attorney Docket Number	3084.028

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			

NON PATENT LITERATURE DOCUMENTS			
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L		International Search Report. PCT/US03/38024, November 10, 2004.	
K		International Search Report. PCT/US04/14938, March 1, 2005.	

Examiner Signature		Date Considered	3/1/06
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First Named Applicant: Julio Chaves

Attorney Docket Number: 3084.028

Art Unit: 2875

Examiner: ~~Laura K. Tso~~ *Rehman*

Search string: ( 1399973 or 3760237 or 3774021 or 3938177 or 4638343 or 4727457 or 5055892 or 5438453 or 5528474 or 5557471 or 5580142 or 5865529 or 5898809 or 6139166 or 6201229 or 6350041 or 6361190 or 6488392 or 6502964 or 6504301 or 6547400 or 6580228 or 6621222 or 6679621 or 6786625 or 6796698 or 6803607 or 6811277 or 6896381 or 2362176 or 2908197 or 4211955 or 4388673 or 4464707 or 4727289 or 5655830 or 6019493 or 20050117125 or 20050129358 ).pn

## US Patent Documents

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init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<i>1</i>	1	1399973	1921-12-13	Limpert			
<i>1</i>	2	3760237	1973-09-18	Jaffe			
<i>1</i>	3	3774021	1973-11-20	Johnson			
<i>1</i>	4	3938177	1976-02-10	Hansen, et al.			
<i>1</i>	5	4638343	1987-01-20	Althaus, et al.			
<i>1</i>	6	4727457	1988-02-23	Thillays			
<i>1</i>	7	5055892	1991-10-08	Gardner, et al.			
<i>1</i>	8	5438453	1995-08-01	Kuga			
<i>1</i>	9	5528474	1996-06-18	Roney, et al.			
<i>1</i>	10	5557471	1996-09-17	Fernandez			
<i>1</i>	11	5580142	1996-12-03	Kurematsu, et al.			
<i>1</i>	12	5865529	1999-02-02	Yan			
<i>1</i>	13	5898809	1999-04-27	Taboada, et al.			
<i>1</i>	14	6139166	2000-10-31	Marshall, et al.			
<i>1</i>	15	6201229	2001-03-13	Tawa, et al.			
<i>1</i>	16	6350041	2002-02-26	Tarsa, et al.			
<i>1</i>	17	6361190	2002-03-26	McDermott			
<i>1</i>	18	6488392	2002-12-03	Lu			
<i>12</i>	19	6502964	2003-01-07	Simon			

16	20	6504301	2003-01-07	Lowery			
	21	6547400	2003-04-15	Yokoyama			
	22	6580228	2003-06-17	Chen, et al.			
	23	6621222	2003-09-16	Hong			
	24	6679621	2004-01-20	West			
	25	6786625	2004-09-07	Wesson			
	26	6796698	2004-09-28	Sommers, et al.			
	27	6803607	2004-10-12	Chan, et al.			
	28	6811277	2004-11-02	Amano			
	29	6896381	2005-05-24	Benitez			
	30	2362176	1944-11-07	Swanson			
	31	2908197	1959-10-13	Wells, et al.			
	32	4211955	1980-07-08	Ray			
	33	4388673	1983-06-14	Maglica			
	34	4464707	1984-08-07	Forrest			
	35	4727289	1988-02-23	Uchida			
	36	5655830	1997-08-12	Ruskouski			
17	37	6019493	2000-02-01	Kuo, et al.			

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
16	1	20050117125	2005-06-02	Minano, et al.			
17	2	20050129358	2005-06-16	Minano, et al.			

## Signature

Examiner Name	Date
<i>J. C. R.</i>	3/2/06



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				Application Number	10/816,228
				Filing Date	3/31/2004
				First Named Inventor	Chaves et al.
				Art Unit	2872 2875
Examiner Name	Rahn				
Sheet	1	of	2	Attorney Docket Number	3084.028

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
18		USSN 10/461,557	08-12-2003	Minano	
		USSN 10/772,088	02-03-2004	Minano	
		USSN 10/779,259	02-13-2004	Benitez	
		USSN 10/903,925	07-29-2004	Falcoff	
		USSN 10/901,919	07-28-2004	Benitez	
		USSN 10/880,386	08-28-2004	Benitez	

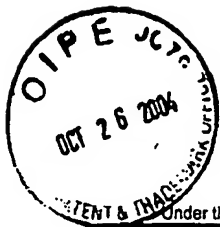
FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)					
2   <							

Examiner Signature	<i>Acck</i>	Date Considered	3/6/06
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		<b>First Named Inventor</b>	Chaves et al.		
		<b>Art Unit</b>	2872 2875		
<b>Examiner Name</b>	Rahn				
<b>Sheet</b>	2	<b>of</b>	2	<b>Attorney Docket Number</b>	3084.028

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
K		Remillard, Everson and Weber, "Loss Mechanisms Optical Light Pipes" <i>Applied Optics</i> Vol 31 #34 pp. 7232-7241 December 1992.	
		Parkyn et al "The Black Hole™: Cusped waveguide-injectors and illuminators for LEDs; Part of the SPIE Conference on Nonimaging Optics: Maximum Efficiency Light Transfer V, Denver, CO, July 1999.	
		Hyper ARGUS®LED, Hyper-Bright, 3mm (T1) LED, Non Diffused; 3-1-2000; Infineon Technologies, pp. 1-9.	
		Spigulis, "Compact dielectric reflective elements, Half-sphere concentrators of radially emitted light" <i>Applied Optics</i> Vol. 33, No. 25, September 1994.	
		International Search Report, PCT/US03/32076	
		Benítez, P. "Chapter 6: The SMS design method in three dimensions", from <i>Conceptos avanzados de óptica anidóica: diseño y fabricación</i> , PhD dissertation, UPM, (1998).	
		Benítez, P.; Mohedano, R.; Minano, J. "Design in 3D geometry with the Simultaneous Multiple Surface design method of Nonimaging Optics" Instituto de Ennergia Solar, E.T.S.I. Telecomunicacion, Unversidad Politecnica, 28040. Madrid, Spain. (July 1999).	
L		International Search Report. PCT/US03/38240, July 26, 2004.	

<b>Examiner Signature</b>	<i>[Signature]</i>	<b>Date Considered</b>	3/6/06
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# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

## Title of Invention

OPTICAL DEVICE FOR LED BASED LAMP

Application Number : 10/816228



Confirmation Number: 7326

First Named Applicant: Julio Chaves

Attorney Docket Number: 3084.028

Art Unit:

~~2872~~ 2875

Examiner:

Rehu

Search string:

( 6616287 or 6637924 or 6639733 or 6646813 or 6647199 or 6674096 or 6282821 or 6483976 or 6688758 or 20020080623 or 20030076034 or 20040070855 or 20020034012 or 20040105171 or 20040189933 ).pn

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<input checked="" type="checkbox"/>	1	6616287	2003-09-09	Sekita, et al			
<input type="checkbox"/>	2	6637924	2003-10-28	Pelka, et al			
<input type="checkbox"/>	3	6639733	2003-10-28	Minano, et al			
<input type="checkbox"/>	4	6646813	2003-11-11	Falicoff			
<input type="checkbox"/>	5	6647199	2003-11-11	Pelka, et al			
<input type="checkbox"/>	6	6674096	2004-01-06	Sommers			
<input type="checkbox"/>	7	6282821	2001-09-04	Freier			
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**Signature**

Examiner Name	Date
	3/6/06

# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

## Title of Invention

OPTICAL DEVICE FOR LED BASED LAMP

Application Number : 10/816228



Confirmation Number: 7326

First Named Applicant: Julio Chaves

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Art Unit: ~~2872~~ 2875

Examiner: *Rehu*

Search string: ( 1977689 or 2254961 or 4192994 or 4337759 or 4342908 or 4675725 or 4698730 or 4920404 or 5140220 or 5302778 or 5335157 or 5404282 or 5404869 or 5452190 or 5577492 or 5608290 or 5613769 or 5655832 or 5676453 or 5757557 or 5777433 or 5806955 or 5813743 or 5894195 or 5894196 or 5897201 or 5898267 or 5924788 or 5926320 or 5966250 or 6030099 or 6044196 or 6048083 or 6166860 or 6166866 or 6177761 or 6181476 or 6268963 or 6273596 or 6301064 or 6450661 or 6473554 or 6536923 or 6547423 or 6560038 or 6578989 or 6582103 or 6598998 or 6603243 or 6607286 ).pn

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Signature

Examiner Name	Date
<i>De C</i>	3/4/06